



**Maine State Government
Dept. of Administrative & Financial Services
Office of Information Technology (OIT)**

Policy, Standard, or Procedure Creation Process

I. Statement

Establish standardized methods for adopting, formatting, reviewing and updating Information Technology (I.T.) Policies, Standards, and Procedures. (Abbreviated as: P/S/P).

II. Purpose

Define a procedure for drafting, vetting, and adopting Policies, Standards and Procedures pertaining to Information Technology and provide the preferred format to be used.

III. Applicability

This process applies to Information Technology Policies, Standards, and Procedures.

IV. Responsibilities

Compliance - All staff engaged in operations, analysis or actions subject to a P/S/P are responsible for becoming familiar, and complying, with the contents of the P/S/P(s). Supervisors are responsible for incorporating standard operating procedures to ensure their staffs are familiar with, and adhere to, the P/S/P affecting their program functions.

The Enterprise Architect is responsible for enforcement.

V. Directives

A. The Approval and Revision Process for I.T. Policies, Standards, or Procedures:

1. The Enterprise Architect accepts suggestions for new, or updates to existing, P/S/P.
2. The Enterprise Architect works with the originator to assign a team of drafters and a lead facilitator.
3. The drafting team prepares a draft P/S/P.
4. The Enterprise Architect presents the draft P/S/P to the OIT Leadership.
5. The lead facilitator and drafting team reconcile OIT Leadership comments into an updated draft.
6. The Enterprise Architect presents the updated draft to the CIO for approval.
7. The CIO approves the draft as-is, or returns it to the Enterprise Architect for further revisions.
8. The Enterprise Architect works with the lead facilitator to accommodate the CIO's revisions and presents it back to the CIO for approval.

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- B. The format to be used for IT Policies, Standards and Procedures is outlined below.
- Content (a “Sample Copy” of the “Template” to be used is included as Attachment 1)
 - Heading 1 = Title of P/S/P
 - Indented on left margin from Heading 1, Heading 2 is Roman Numerals (I – VII)
 - Indented on left margin from Heading 2, Heading 3 is Capital Letters
 - Indented on left margin from Heading 3, Heading 4 is Numbers followed by a period
 - Indented on left margin from Heading 4, Heading 5 a small letter followed by a period
 - Indented on left margin from Heading 5, Heading 6 a small letter enclosed in parentheses
- C. Document Information (as appropriate) will be included for each Policy, Standard, and Procedure as noted below:

Initial Issue Date:

Latest Revision Date:

Point of Contact:

Approved by:

Enforced By: (unless Enforcement is already identified in the Responsibilities Section)

Legal Citation:

Waiver Process:

VI. Definitions

1. Chief Information Officer (CIO) - The Chief Information Officer of the Office of Information Technology within the Department of Administrative and Financial Services.
2. Policy - A policy is a statement of direction with respect to the planning and management of information technology approved by the Chief Information Officer of the State of Maine.
3. Standard - A standard is a specific approach, solution, methodology, product, or protocol that must be adhered to for establishing uniformity.
4. Standard Operating Procedure - The term Standard Operating Procedure (SOP) is the prescribed method that must be used by OIT staff to develop or review Policies, Standards, or Procedures. SOPs are not appropriate to describe procedures or requirements that apply to members of the public, other than persons acting as agents of, or under contract with OIT.

VII. References

None

VIII. Document Information

Initial Issue Date: May 9, 2006

Latest Revision Date: August 11, 2016 – to update Document Information.

Point of Contact: Henry Quintal, Architecture-Policy Administrator, OIT, (207) 624-8836.

Approved By: James R. Smith, Chief Information Officer, OIT, (207) 624-7568.

Policy, Standard, or Procedure Creation Process

Legal Citation: [Title 5, Chapter 163: Office of Information Technology](#)¹

Waiver Process: See the [Waiver Policy](#)².

¹ <http://legislature.maine.gov/statutes/5/title5ch163sec0.html>

² <http://maine.gov/oit/policies/waiver.htm>

Attachment 1

This is a “Sample Copy: of the “Template” to be used for IT Policies, Standards, and Procedures.



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1.

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Legal Citation: [Title 5, Chapter 163: Office of Information Technology](#)

Waiver Process: See the [Waiver Policy](#).